

## TRANSMITTAL FORM

(to be used for correspondence after initial filing)

Application Number	10/789,807
Filing Date	February 27, 2004
First Named Inventor	Tjoa, Benjamin
Art Unit	1644
Examiner Name	Unassigned
Attorney Docket Number	020093-003710US

Total Number of Pages in This Submission

## ENCLOSURES (Check all that apply)

- ☐ Fee Transmittal Form
- ☐ Fee Attached
- ☐ Amendment/Reply
- ☐ After Final
- ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☒ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/Incomplete Application
- ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) \_\_\_\_\_

- ☐ After Allowance Communication to Technology Center (TC)
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) (please identify below):
- Form PTO/SB/08A (1 pg.),
- Form PTO/SB/08B (2 pgs.),
- References AE-AZ (22), and
- Return Postcard

Remarks

The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430.

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Townsend and Townsend and Crew LLP	
	Brian W. Poor	Reg. No. 32,928
Signature	<i>Brian W. Poor</i>	
Date	25 October 2004	

## CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name	Masha M. Martinenko
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Signature

*Masha M. Martinenko*

Date

Oct. 26, 2004

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:  
Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450,  
Alexandria, VA 22313-1450 on October 26, 2004

By: Marc M. Martireno



PATENT  
Attorney Docket No.: 020093-003710US

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

Benjamin Tjoa *et al.*

Application No.: 10/789,807

Filed: February 27, 2004

For: GENERATION OF DENDRITIC  
CELLS FROM MONOCYTIC  
DENDRITIC PRECURSOR CELLS  
WITH GM-CSF IN THE ABSENCE OF  
ADDITIONAL CYTOKINES

Examiner: Unassigned

Art Unit: 1644

**INFORMATION DISCLOSURE  
STATEMENT UNDER  
37 CFR §1.97 and §1.98**

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

The references cited on attached forms PTO/SB/08A and PTO/SB/08B are being called to the attention of the Examiner. In accordance with the USPTO waiver of the requirement under 37 CFR §1.98 (a)(2)(i) for submitting copies of the cited U.S. patents for all patent applications filed after June 30, 2003, applicants have not submitted copies of the cited U.S. patents AA-AD. Copies of the cited foreign patents and non-patent literature documents AE-AZ are enclosed.

It is respectfully requested that the cited references be expressly considered during the prosecution of this application, and the references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

As provided for by 37 CFR 1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information.

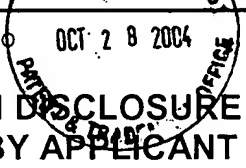
Applicant believes that no fee is required for submission of this statement. However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 20-1430. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

Respectfully submitted,

Date: 25 October 2004

By: Brian W. Poor  
Brian W. Poor  
Reg. No. 32,928

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BWP:mmm  
60338261 v1

Substitute for form 1449A/PTO				Complete if Known			
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		Application Number		10/789,807			
		Filing Date		February 27, 2004			
		First Named Inventor		Tjoa, Benjamin			
		Art Unit		1644			
		Examiner Name		Unassigned			
Sheet	1	of	3	Attorney Docket Number		020093-003710US	

U.S. PATENT DOCUMENTS+					
		Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
Examiner Initials*	Cite No. <sup>1</sup>	Number Kind Code <sup>2</sup> (if known)			
	AA	US-5,162,504	11-10-1992	Horoszewicz	
	AB	US-5,788,963	08-04-1998	Murphy et al.	
	AC	US-5,851,756	12-22-1998	Steinman et al.	
	AD	US-5,994,126	11-30-1999	Steinman et al.	

FOREIGN PATENT DOCUMENTS							
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup>  Kind Code <sup>5</sup> (if known)				
	AE	PCT	WO 02/44338 A2	06-06-2002	The Trustees of Columbia University in the City of New York		<input type="checkbox"/>
	AF	PCT	WO 03/010292 A2	02-06-2003	Northwest Biotherapeutics, Inc.		<input type="checkbox"/>
	AG	PCT	WO 2004/000444 A1	12-31-2003	Northwest Biotherapeutics, Inc.		<input type="checkbox"/>
							<input type="checkbox"/>

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Kind Codes of U.S. Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Substitute for form 1449B/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)			<b>Complete if Known</b>		
			Application Number	10/789,807	
			Filing Date	February 27, 2004	
			First Named Inventor	Tjoa, Benjamin	
			Art Unit	1644	
			Examiner Name	Unassigned	
Sheet	2	of	3	Attorney Docket Number	020093-003710US

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	AH	BERNHARD, H. <i>et al.</i> , "Generation of immunostimulatory dendritic cells from human CD34+ hematopoietic progenitor cells of the bone marrow and peripheral blood," <i>Cancer Res.</i> , 55:1099-1104 (March 1995)	
	AI	CAUX, C. <i>et al.</i> , "GM-CSF and TNF- $\alpha$ cooperate in the generation of dendritic Langerhans cells," <i>Nature</i> , 360:258-261 (November 1992)	
	AJ	DE BRUIJN, M., <i>et al.</i> , "Mechanisms of induction of primary virus-specific cytotoxic T lymphocyte responses," <i>Eur. J. Immunol.</i> , 22:3013-3020 (1992)	
	AK	DOZMOROV, I. and MILLER, R., "In vitro production of antigen-specific T cells from unprimed mice: Role of dexamethasone and anti-IL-10 antibodies," <i>Cell. Immunol.</i> , 178:187-196 (1997)	
	AL	FENG, Q. <i>et al.</i> , "Purification and biochemical characterization of the 7E11-C5 prostate carcinoma-associated antigen," <i>Proc. Am. Assoc. Cancer Res.</i> , 32:239 (Abs. 1418) (March 1991)	
	AM	FREUDENTHAL, P. and STEINMAN, R., "The distinct surface of human blood dendritic cells, as observed after an improved isolation method," <i>Proc. Natl. Acad. Sci. USA</i> , 87:7698-7702 (October 1990)	
	AN	GREY, H. <i>et al.</i> , "Class I MHC-peptide interactions: Structural requirements and functional implications," <i>Cancer Surveys</i> , 22:37-49 (1995)	
	AO	HOROSZEWICZ, J. <i>et al.</i> , "The LNCaP cell line - a new model for studies on human prostatic carcinoma," <i>Prog. Clin. Biol. Res.</i> , 37:115-132 (1980)	
	AP	INABA, K. <i>et al.</i> , "Direct activation of CD8 <sup>+</sup> cytotoxic T lymphocytes by dendritic cells," <i>J. Exp. Med.</i> , 166:182-194 (July 1987)	
	AQ	MACATONIA, S. <i>et al.</i> , "Suppression of immune responses by dendritic cells infected with HIV," <i>Immunology</i> , 67:285-289 (1989)	
	AR	MACATONIA, S. <i>et al.</i> , "Primary stimulation by dendritic cells induces antiviral proliferative and cytotoxic T cell responses <i>in vitro</i> ," <i>J. Exp. Med.</i> , 169:1255-1264 (April 1989)	
	AS	MAFFEI, A., "A novel closed system utilizing styrene copolymer bead adherence for the production of human dendritic cells," <i>Transfusion</i> , 40:1419-1420 (November 2000)	
	AT	MARKOWICZ, S. and ENGLEMAN, E., "Granulocyte-macrophage colony stimulating factor promotes differentiation and survival of human peripheral blood dendritic cells <i>in vitro</i> ," <i>J. Clin. Invest.</i> , 85:955-961 (March 1990)	
	AU	O'DOHERTY, U. <i>et al.</i> , "Dendritic cells freshly isolated from human blood express CD4 and mature into typical immunostimulatory dendritic cells after culture in monocyte-conditioned medium," <i>J. Exp. Med.</i> , 178:1067-1078 (September 1993)	
	AV	RIDDELL, S. <i>et al.</i> , "Restoration of viral immunity in immunodeficient humans by the adoptive transfer of T cell clones," <i>Science</i> , 257:238-241 (July 1992)	

Examiner Signature		Date Considered	
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\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

Substitute for form 1449B/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)			<b>Complete if Known</b>		
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			Filing Date	February 27, 2004	
			First Named Inventor	Tjoa, Benjamin	
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			Examiner Name	Unassigned	
Sheet	3	of	3	Attorney Docket Number	020093-003710US

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	AW	STEEL, C. and NUTMAN, T., "Helminth antigens selectively differentiate unsensitized CD45RA <sup>+</sup> CD4 <sup>+</sup> human T cells <i>in vitro</i> ," <i>J. Immunol.</i> , 160:351-360 (1998)	
	AX	STEINMAN, R., "The dendritic cell system and its role in immunogenicity," <i>Annu. Rev. Immunol.</i> , 9:271-296 (1991)	
	AY	TAO, X. <i>et al.</i> , "Induction of IL-4-producing CD4 <sup>+</sup> T cells by antigenic peptides altered for TCR binding," <i>J. Immunol.</i> , 158:4237-4244 (1997)	
	AZ	YOUNG, J. and STEINMAN, M., "Dendritic cells stimulate primary human cytolytic lymphocyte responses in the absence of CD4 <sup>+</sup> helper T cells," <i>J. Exp. Med.</i> , 171:1315-1332 (April 1990)	

Examiner Signature		Date Considered	
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